

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231

PATENT FILING TRANSMITTAL

Transmitted herewith for filing is the Patent Application of: Andreas Schade, Yigal Hoffner, Simon Field, and Christian Facciorusso

For: MATCH-MAKING IN ELECTRONIC TRADING SYSTEMS

which is to be assigned to IBM Corporation, Armonk, New York, and who should be listed on any patent application publication as the Assignee of this application.

TYPE OF FILING

This new patent application is for a(n):

- ☒ Utility  
☐ Design  
☐ Plant  
☐ Divisional  
☐ Continuation  
☐ Continuation-in-part

Benefit of a prior filed application

- ☐ This application claims the benefit of an earlier filed U.S. Patent Application under 35 USC 120.  
☒ Please accord Applicant the benefit of the priority date of 14 April 2000 to this case pursuant to 35 USC 119. Applicant's claim for priority is based on application 00810327.7 filed in the European Patent Office on that date.

Filing under 37 CFR 1.53 (Utility) or 37 CFR 1.153 (Design)

- ☒ This is an application filed pursuant to 37 CFR 1.53 or 37 CFR 1.153, permitting receipt of a filing date upon filing of a specification, at least one claim and necessary drawings.  
☒ In the event any parts of this application are incomplete, please treat this as a filing under 37 CFR 1.53 or 37 CFR 1.153.

ENCLOSURES

- ☒ 36 - pages of written description;  
☒ 12 - pages of claims;  
☒ 1 - pages of abstract;  
☒ 5 - sheets of formal drawings;  
☐ - sheets of informal drawings;  
☒ Declaration and Power of Attorney or listing of inventors (unexecuted);  
and  
☒ Two postcards for return to us as proof of receipt of the above documents.

plus

- ☐ An Assignment of the invention to IBM Corporation and an Assignment cover sheet;
- ☐ Verified Statement Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b))
- ☐ Form PTO-1449 (IDS) and two copies of the references listed thereon;
- ☐ A certified copy of European (country) patent application number 00810327.7 (priority document).
- ☐ A preliminary amendment;
- ☐ Declaration of Biological Deposit;
- ☐ Submission of sequence listing, computer readable copy and/or amendment relating thereto for biotechnology invention containing nucleotide and/or amino acid sequence;
- ☐ An associate power of attorney;
- ☐ Other:

#### DECLARATION OR OATH

The enclosed Declaration or Oath has been executed by:

- ☐ Inventor(s);
- ☐ Legal representative of the inventors (37 CFR 1.42 or 1.43);
- ☐ Joint inventor or person showing proprietary interest on behalf of an inventor who refused to sign or who cannot be reached and this is a petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is attached;
- ☒ Has not been executed and is enclosed for the purposes of identifying the inventors.

#### INVENTORSHIP STATEMENT

The inventorship for all the claims in this application is:

- ☒ the same;
- ☐ not the same and, as an explanation, a statement is/ will be submitted.

#### LANGUAGE

The application submitted herewith is:

- ☒ in English;
- ☐ in not in English and in terms of 37 CFR 1.52(d) a verified translation is
  - ☐ attached
  - ☐ not attached.

#### FEE CALCULATION

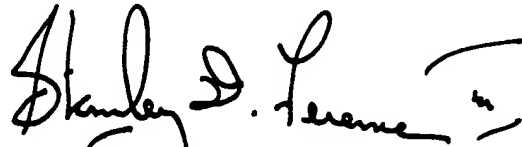
The filing fee has been calculated as shown below:

|   | SMALL ENTITY | OR  | OTHER THAN A<br>SMALL ENTITY |
|---|--------------|-----|------------------------------|
| BASIC FEE Design Patent                     | \$160        | \$  | \$320                        |
| BASIC FEE Utility Patent                    | \$355        | \$  | \$690                        |
| EXTRA FEES                                  | RATE         | FEE | RATE                         |
| TOTAL CLAIMS 16 MINUS 20 = 0                | x 9=         | \$0 | x18=                         |
| INDEP.CLAIMS 5 MINUS 3 = 2                  | x 40=        | \$0 | x80=                         |
| <input type="checkbox"/> MULTIPLE DEP.CLAIM | +135=        | \$  | +270=                        |
| <input type="checkbox"/> ASSIGNMENT         | + 40=        | \$  | +40=                         |
| <input type="checkbox"/> RULE 53 SURCHARGE  | + 65=        | \$  | +130=                        |
| TOTAL                                       |              | \$  | \$870                        |

**FEE PAYMENT**

- ☐ Attached is Check No. \_\_\_\_\_ in the sum of \$ \_\_\_\_\_ to cover the filing fee and, if applicable, the assignment fee.
- ☒ Please charge **IBM Corporation Deposit Account No. 50-0510** the amount of **\$870**, to cover the filing fee. Duplicate copies of this letter are enclosed. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or credit **Deposit Account No. 50-0510** as required to correct the error.

Respectfully submitted,



Stanley D. Ference III  
Reg. No. 33,879

Dated: April 13, 2001

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FOR THE RECORD

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Andreas Schade et al. Group Art: not yet assigned  
Serial No. : not yet assigned Examiner: not yet assigned  
Filed : herewith  
For : MATCH-MAKING IN ELECTRONIC TRADING SYSTEMS

EXPRESS MAIL CERTIFICATE

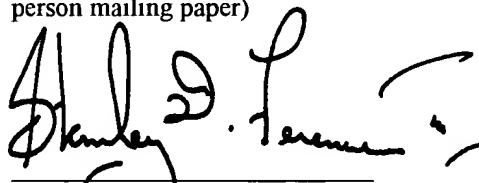
Express Mail Label No. EL765475248US

Date of Deposit 13 April January 2001

I hereby certify that the following attached paper(s) or fee:

Patent Application  
Written Description  
Claims 1-16  
Abstract  
Drawings (Figs. 1-6)  
Declaration and Power of Attorney (unexecuted)  
Patent Filing Transmittal (in duplicate)  
Certificate of Express Mail  
Two Return Postcards

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service  
under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner for  
Patents, Washington, D.C. 20231.

Stanley D. Ference III(Typed or printed name of  
person mailing paper)(Signature of person mailing  
paper(s) or fee)

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